

## 23.2.4 PROGRAMMING

Several actions must take place during the programming of the STIP to establish the scope, estimated cost, and schedule of local grant projects. (See Flow Charts 23-1, “Allocation Procedures (Highway Projects)” and 23-2, “Reimbursement and Project Completion.”)

- € The local agency completes a Project Study Report (PSR) or equivalent.
- € The local agency completes and submits Project Nomination (Fact & Funding) Sheets to the regional planning agency (see Exhibits 23-G, 23-H, and 23-I).
- € The regional planning agency adopts the project in the Regional Transportation Improvement Program (RTIP).
- € The Commission adopts the project into the STIP.

These actions are described in the CTC *STIP Guidelines* and summarized below.

### PROJECT STUDY REPORT (PSR) OR EQUIVALENT

A new project may not be included in an RTIP without a complete PSR, or for local grant projects off the state highway system, a PSR equivalent. This requirement applies to the programming of project development components as well as the right of way and construction components. This requirement does not apply to the programming of project planning, programming, and monitoring or to the STIP match of RSTP/CMAQ/Regional TEA funds. A PSR is a report that meets the standards of the Commission’s PSR guidelines (see Exhibit 23-J, “Project Study Report Guidelines”). The PSR guidelines are subject to change. Updates are posted on the Transportation Programming website STIP page at: [www.dot.ca.gov/hq/transprog](http://www.dot.ca.gov/hq/transprog).

Further guidance can be found in Caltrans’ *Project Development Procedures Manual* or Project Development Procedures Manual Bulletins on the Division of Design website at: [www.dot.ca.gov/hq/oppd](http://www.dot.ca.gov/hq/oppd). In addition, a draft PSR format for rehabilitation projects is provided on the Local Assistance website at: [www.dot.ca.gov/hq/LocalPrograms](http://www.dot.ca.gov/hq/LocalPrograms).

### PROJECT NOMINATION SHEETS (FACT & FUNDING SHEETS)

The local agency must submit a Project Nomination Sheet to the regional planning agency for each new project nominated in an RTIP. This includes the basic project information regarding the scope, cost and schedule displayed as shown in the Appendix to the CTC *STIP Guidelines*. This is the key document used as the basis to start the allocation process for STIP highway projects. It shall be submitted with the Request for Funding Allocation, as described below. See Exhibit 23-G for the “STIP Project Nomination Fact Sheet,” and Exhibit 23-H for the “STIP Project Nomination Funding Sheet.” CTC *STIP Guidelines* and instructions on how the STIP Nomination Fact/Funding Sheets should be prepared are provided as Exhibit 23-I, “STIP Project Nomination Fact/Funding Sheet Instructions.”

### REGIONAL TRANSPORTATION IMPROVEMENT PROGRAM (RTIP)

Based on Project Nomination Sheets submitted by local agencies, each regional planning agency adopts and submits an RTIP containing programming proposals from the county shares to the Commission for adoption. In addition to project nominations, a region, in its RTIP, may also propose to leave all or part of its county share unprogrammed, thus

reserving that amount to build up a larger share for a higher cost project or otherwise to program projects in the county at a later time. Section 23 of the CTC *STIP Guidelines* addresses these reserves.

In addition to reserving county shares, agencies may elect to consolidate their county shares through pooling agreements or other methods as outlined in Section 28 of the CTC *STIP Guidelines*.

Reservations, advances, and pooling are methods to provide programming flexibility to planning agencies in developing their RTIPs.

#### STATE TRANSPORTATION IMPROVEMENT PROGRAM (STIP)

Upon finding that the RTIP is consistent with the CTC *STIP Guidelines* and is a cost-effective expenditure of state funds, the Commission adopts the RTIP projects nominated from the county shares into the STIP. Although the PSR or equivalent is not submitted with the RTIP, the Commission or its staff may request copies to document project costs or deliverability.

#### STIP AMENDMENTS

The Commission may amend the STIP at the request of the regional planning agency that originally nominated the local grant project(s). (See Section 67 “STIP Amendments” in the CTC *STIP Guidelines*.) An amendment may change the scope, cost or program year of any STIP project, with the following exceptions:

- ⊘ An amendment may not delete or change the program year of the funding for any project component after the beginning of the fiscal year for which it is programmed; or
- ⊘ An amendment may not change the programming of any funds after they have been allocated.

Local agencies should be aware that the Commission will amend the STIP only after providing at least 30 days notice prior to the amendment.

All regional requests for STIP amendments shall be submitted directly to the appropriate Caltrans district office at least eight weeks prior to each CTC meeting. Caltrans will review proposed amendments and forward them to the Commission for notice and action. A complete request should include, but is not limited to, the following:

- ⊘ A letter from the implementing/responsible agency clearly identifying the need for the programming change, assurances of full funding for the project and/or an explanation of future funding needs, if applicable. Include a summary of the proposed change and a detailed background of the project.
- ⊘ Concurrence letters for the regional transportation planning agency (RTPA), if Regional Improvement Program (RIP) funds are involved, and letters of concurrence from the local agencies for projects that have a local contribution.
- ⊘ A completed “STIP Project Nomination Fact Sheet” (Exhibit 23-G), including the Planning Programming Number (PPNO), and location map(s).
- ⊘ A completed “STIP Project Nomination Funding Sheet” (Exhibit 23-H).
- ⊘ If local or non-STIP funds are involved in the project, please clearly identify the funding source. Examples of non-STIP funding sources include RSTP, CMAQ, Regional TEA, Highway Bridge Replacement and Rehabilitation (HBRR), Federal